

INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Docket Number 01-1034		Application Number 10/047,607	
				Applicants Andrew Gilbert. Et. al.			
				Filing Date January 14, 2002		Group Art Unit 3691	
U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
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		5,806,050	9/8/1998	Shinn et al.			
		5,970,479	10/19/1999	Shepherd			
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		WO 01/27836	4/19/2001	PCT			
		EP 1 100 030	5/15/2001	EPO			
		EP 0 399 850 A2	11/28/1990	EPO			
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NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		Letter of Albert P. Moras and Exhibits Ia – IVb for “QV Trader” and “Bondpage.com”, April 4, 2002 , 16 pp.					
		Copy of Office Action mailed July 19, 2006, Application Serial No. 09/853,430, entitled “Systems and Method for Anonymous Electronic Trading”, Examiner Olabode Akintola, 12 pp.					
		USPTO Office Action for Application No. 11/562,719, February 12, 2008 (11 pages).					
		Pending U.S. Patent Application Serial No. 11/562,719, entitled “Processing of Orders in a Trading System Once Warning Limits are Exceeded”, filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 11/562,674, February 14, 2008 (14 pages).					
		Pending U.S. Patent Application Serial No. 11/562,674, entitled “Processing of Trades That Exceed Warning Limits”, filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 09/853,430, July 19, 2006 (8 pp).					
Examiner Signature				Date Considered			

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NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published			
		USPTO Office Action for Application No. 09/853,430, December 18, 2006 (9 pp).			
		USPTO Office Action for Application No. 09/853,430, June 21, 2007 (8 pp).			
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		MoneyMatch, Functional Specification, Version 1, August 1990, The Sequor Group Inc. Software Services			
		Assorted Documents from QV Trading Systems (not dated).			
		Assorted Documents from Bondpage (copyright 2001).			
		Pending U.S. Patent Application Serial No. 09/853,430, entitled "Systems and Methods for Anonymous Electronic Trading", filed May 10, 2001 in the name of Ginsberg et al.			
		PCT Search Report for International Application No.: PCT/US01/41525; 5 pages; 10/26/2001			
Examiner Signature				Date Considered	